

#3



Docket No. 2312-103

Declaration and Power of Attorney for Patent Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought, on the invention entitled INDUCIBLE SITE-SPECIFIC RECOMBINATION FOR THE ACTIVATION AND REMOVAL OF TRANSGENES IN TRANSGENIC PLANTS, the specification of which

[] is attached hereto.
[X] was filed on 12 November 1999
Application Serial No. 09/439,534
and was amended on _____

/I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

/I acknowledge the duty to disclose information which is material to patentability in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
_____	_____	_____	[]	[]
(Number)	(Country)	(Day/Month/Year)	Yes	No

Prior Foreign Application(s)			Priority Claimed	
_____	_____	_____	[]	[]
(Number)	(Country)	(Day/Month/Year)	Yes	No

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

(Application Serial No.)

(Filing Date)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)

(Filing Date)

(Status)

(Application Serial No.)

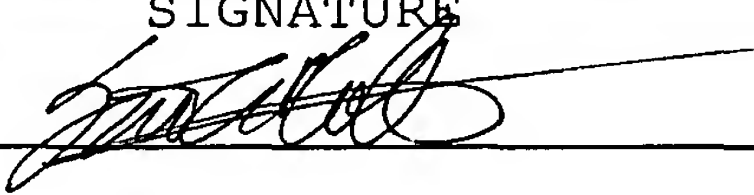
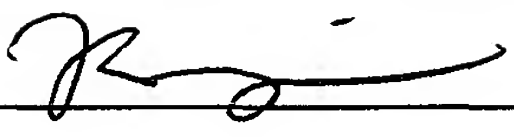
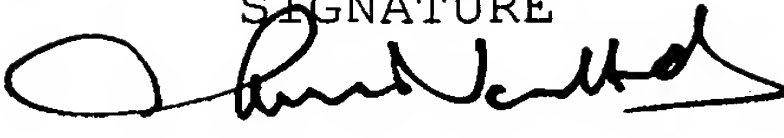
(Filing Date)

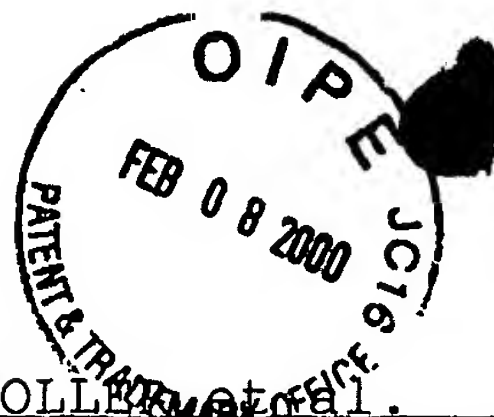
(Status)

I or we hereby appoint the following attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and request that all correspondence about the application be addressed to ROTHWELL, FIGG, ERNST & KURZ, p.c., Suite 701-E, 555 13th Street, N.W., Washington, D.C. 20004

G. Franklin Rothwell, Reg. No. 18,125
E. Anthony Figg, Reg. No. 27,195
Barbara G. Ernst, Reg. No. 30,377
George R. Repper, Reg. No. 31,414
Bart G. Newland, Reg. No. 31,282
Vincent M. DeLuca, Reg. No. 32,408
Celine Jimenez Crowson, Reg. No. 40,357
Joseph A. Hynds, Reg. No. 34,627
Mark I. Bowditch, Reg. No. 40,315
Robert J. Jondle, Reg. No. 33,915
Jeffrey W. Rennecker, Reg. No. 40,784
Kenneth M. Fagin, Reg. No. 37,615
Don M. Kerr, Reg. No. 22,720
Jeffrey L. Ihnen, Reg. No. 28,957
Stephen A. Saxe, Reg. No. 38,609
Glenn E. Karta, Reg. No. 30,649
Martha Cassidy, Reg. No. 44,066

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

FIRST NAMED INVENTOR Simon Geir MOLLER	SIGNATURE 	DATE Jan 24, 2000
RESIDENCE 560 Riverside Drive, Apartment 3W New York, New York 10027	CITIZENSHIP Norway	
POST OFFICE ADDRESS (same as above)		
SECOND NAMED INVENTOR Jianru ZUO	SIGNATURE 	DATE 01/24/2000
RESIDENCE Faculty House, Apartment 15K 500 East 63rd Street, New York, New York 10021	CITIZENSHIP People's Republic of China	
POST OFFICE ADDRESS (same as above)		
THIRD NAMED INVENTOR Nam-Hai CHUA	SIGNATURE 	DATE Jan 24, 2000
RESIDENCE 32 Walworth Avenue, Scarsdale, New York 10583	CITIZENSHIP Singapore	
POST OFFICE ADDRESS (same as above)		
FOURTH NAMED INVENTOR	SIGNATURE	DATE
RESIDENCE	CITIZENSHIP	
POST OFFICE ADDRESS		



457#3

Applicant or Patentee: Simon Geir MOLLER et al.
Serial or Patent No.: 09/439,534 Attorney's Docket No. 2312-103
Filed or Issued: 12 November 1999
For: INDUCIBLE SITE-SPECIFIC RECOMBINATION FOR THE ACTIVATION AND REMOVAL OF TRANSGENES IN TRANSGENIC PLANTS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION The Rockefeller University
ADDRESS OF ORGANIZATION 1230 York Avenue, New York, New York 10021

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 USC 501(a) and 501(c)(3))
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(Name of State _____)
(Citation of Statute _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(Name of State _____)
(Citation of Statute _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled INDUCIBLE SITE-SPECIFIC RECOMBINATION FOR THE ACTIVATION AND REMOVAL OF TRANSGENES IN TRANSGENIC PLANTS by inventor(s) Simon Geir MOLLER, Jianru ZUO, and Nam-Hai CHUA described in

- ☐ the specification filed herewith
☒ application serial no. 09/439,534, filed 12 November 1999
☐ patent no. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

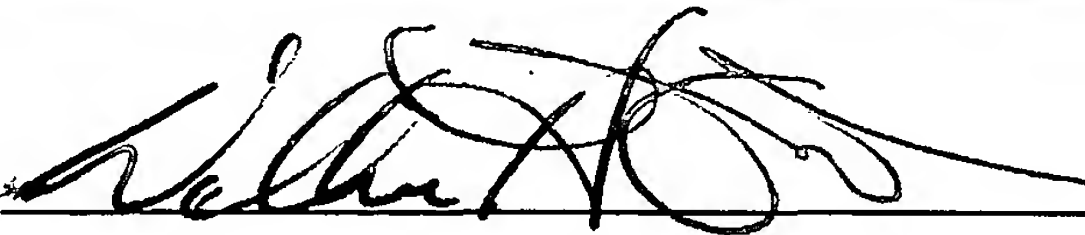
FULL NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING William H. Griesar
TITLE IN ORGANIZATION Vice President and General Counsel
ADDRESS OF PERSON SIGNING The Rockefeller University
1230 York Avenue, New York, NY 10021

Signature  Date 1/13/00